APPENDIX

Vol. 34, No. 37 Septemper 12, 1975

WORKING PARTIES OF THE ADVISORY GROUP ON NATIONAL BIBLIOGRAPHY CONTROL

[Editor's Note: Requests for further information about the activities described below should be addressed to Paul Lagueux, Executive Secretary of the Advisory Group on National Bibliographic Control, in care of the Council on Library Resources, Inc., 1 Dupont Circle, Suite 620, Washington, D.C. 20036, (202) 296-4757. The Advisory Group is sponsored by the Council, the National Science Foundation, and the National Commission on Libraries and Information Science.]

Two working parties established by the Advisory Group on National Bibliographic Control have held their first meetings in Washington. The Working Party on Formats for Journal Articles and Technical Reports, chaired by Margaret Park of the University of Georgia, met on July 15-16 and the Working Party on Bibliographic Name Authority Files, chaired by Ann Curran of the Boston Public Library, met August 21-22. Both the working parties and the Advisory Group by which they were established are an outgrowth of a 1974 meeting on national bibliographic control. Participants in that meeting agreed that a comprehensive and coherent approach to national bibliographic control is an absolute requirement for a truly national information handling system; activities of these and future working parties constitute efforts leading towards development of some of the building blocks from which ultimately will evolve a national system.

WORKING PARTY ON FORMATS FOR JOURNAL ARTICLES AND TECHNICAL REPORTS

Members of the Working Party, in addition to the chairman, are Paul Klinefelter, Defense Documentation Center; Mitchell A. Krasny, National Technical Information Service; Samuel Lazerow, Institute for Scientific Information; Irving Lebow, Energy Research and Development Administration; Lucinda Leonard, Library of Congress; Peter Schipma, Illinois Institute of Technology Research Institute; and Richard Sharpe, Chemical Abstracts Service. Its charter reads in part:

Basis for the Work

The work on formats for journal articles and technical reports will be firmly based on several fundamental assumptions:

(1) A coherent approach to the definition of formats for the communication of bibliographic records on magnetic tape is of critical importance to national bibliographic control. Formats for journal articles and technical reports are included in this requirement.

(2) Identical internal systems for handling information in the United States may be neither possible nor desirable. Each organization remains free to design its own internal formats, procedures, products, and services. Compatibility among these diverse systems will be achieved by standardizing the structure, content designation, and data content of the records to be exchanged among them. Organizations thus will retain a high degree of internal autonomy; the price each must pay to take full advantage of bibliographic work done by others is to agree to provide, within its own system, for in-and-out compatibility with the standard medium of exchange.

(3) The national bibliographic formats defined for the communication of journal articles and technical reports must be comprehensive enough to provide for the inclusion of all data elements required by publishers, abstracting and indexing services, information delivery systems, and libraries.

(4) A standard format and content designation scheme for journal articles and technical reports is essential for national bibliographic control. Absolute consistency and accuracy of the data content of these records is the ideal; to determine the degree to which this can be achieved in the real world is a major task of this Working Party.

(5) Nationally acceptable formats and content designation schemes can and should be devised, even if absolute consistency and accuracy of the data content itself cannot be achieved in the near term.

(6) The format specifications to be devised by this Working Party will adhere to the national and international standard record structure (Ref.: ANS Z-39.2, 1971; ISO 2709, 1973).

(7) Content designators already in national use for bibliographic purposes will be utilized by the Working Party so far as possible.

Purpose of the Work

The major purpose of this Working Party is to develop format specifications based on national and

international standard record structure for bibliographic interchange (ANS Z-39.2, 1971; ISO 2709, 1973) for handling journal articles and technical reports now distributed or interchanged by the library, abstracting and indexing, publishing, and information delivery communities (public and private). The specific purpose of these format specifications is to permit these various communities to evaluate the technical, practical, and economic feasibility of adopting these formats in their distributed products and services. Implicit in these evaluations is the eventual intent to establish a coordinated set of formats and content designation schemes that are applicable to all classes of machine-readable bibliographic information (including patents, papers in conference proceedings, chapters in books, etc.) provided by these communities.

Method of Procedure

(1) The Working Party will be chaired by a person selected by the Advisory Group on National Bibliographic Control. It will meet at the times and places designated by the chairperson.

(2) The Working Party may choose to treat both formats as products of a single group effort, or may choose to split into two Working Parties of specialists in the separate areas for working out specific details, after establishing the common basis for the two.

(3) Travel and expenses of Working Party members will be supported by the agencies sponsoring the Advisory Group. Honoraria will not be paid.

(4) Remuneration for expenses, all correspondence, and other administration will be handled by the Council on Library Resources.

(5) The chairperson will periodically report the results of the Working Party to the Advisory Group, in person or in writing, as appropriate.

(6) The creation and composition of the Working Party will be widely publicized, as will this charter. Working papers of the Party will be treated as confidential between the Working Party and its sponsors until such time as it is appropriate to publicize results and to invite public comment on progress.

(7) Neither the Working Party nor its sponsors are standard-setting agencies. If the work of the Party at any time indicates implications for bibliographic standards work, the chairperson will inform the Advisory Group so that proper and formal action can be taken via existing channels.

(8) The Working Party will begin by informing itself as to the data elements having to do with journal articles and technical reports, and which are in regular use in the communities of abstracting and indexing, information delivery services, publishing, and libraries. As an initial step in this effort, a matrix of data elements relevant to these two formats will be constructed (or acquired). This matrix will be useful to support and attempt to match up equivalent data elements used by various parties. No specific data element now being distributed is to be arbitrarily deleted from consideration. It is not the responsibility of this Working Party to decide that a specific item of information is not needed; that is determined by existing practice.

Desired Products

It is intended that the work of this Party will result in at least the following:

(1) Written specifications for formats for the communication of the bibliographic records of journal articles and technical reports on magnetic tape.

(2) A comprehensive content designation scheme which will satisfy the requirements of the communities enumerated above, and which will take advantage of, complement, and, to the degree possible, be compatible with content designation schemes already in national use for the communication of bibliographic records.

(3) Written guidelines to cover, to the degree possible, the input and tagging of bibliographic communications records for journal articles and technical reports.

(4) A written report to the Advisory Group setting out the present status of and prospects for consistency and accuracy of the data content itself across these several communities. The statement should include recommendations for further actions that the Advisory Group should take in this regard.

WORKING PARTY ON BIBLIOGRAPHIC NAME AUTHORITY FILES

Members of the Working Party, in addition to Chairman Curran, are Eleanor Aronson, National Technical Information Service; Olga Luchaka, Defense Documentation Center; Suzanne Massonneau, Texas A & M; Mary Ellen Padin, Engineering Index, Inc.; Joseph Price, Library of Congress; John Rather, Library of Congress; James Rizzolo, New York Public Library; Andrew Uszak, R. R. Bowker Co.; and Edwin Buchinski, National Library of Canada, as observer. Its charter reads in part:

Basis for the Work

The work on name authority files will be firmly based on several basic assumptions:

(1) A coherent national approach to the creation, maintenance, and dissemination of name authority files is of critical importance to national bibliographic control.

(2) Identical internal systems for handling information in the United States are not likely. Each agency is and will remain free to design its own internal formats, procedures, products, and services. Compatibility among these diverse systems will be achieved by standardizing the formats, content designation, and data content of the records to be exchanged among them. Agencies thus will retain a high degree of internal autonomy; the price each will pay in order to take advantage of bibliographic work done by others is to agree to provide, in its own system, in-and-out compatibility with the standard medium of exchange.

(3) The creation, maintenance, dissemination, and use of the bibliographic name authority files must provide reasonable consideration for the rights to privacy of those names in the files, as, for example, those rights covered in Public Law 93-579, 93rd Congress, S. 3418, dated December 31, 1974. The guiding philosophy for name authority files is basically as follows:

(a) Use only publicly available material.
(b) Do not include Social Security numbers.
(c) Guarantee each named individual the right of access to the complete record on that individual in the file.

(4) A totally centralized, monolithic name authority file may be neither practical nor desirable for national bibliographic control. What is required is the proper balance between centralization and decentralization in bibliographic responsibility, record and file creation, maintenance, dissemination, and use which will permit all major users of name authority files to share (their) resources in the creation, maintenance, and dissemination of name authority files while receiving equitable shares of the benefits of the national name authority files.

(5) A standard format and content designation scheme for name authority records, to include appropriate cross references, is essential for national bibliographic control. Absolute consistency and accuracy of the data content of the authority records to be exchanged is the ideal; to determine the degree to which this can be achieved in the real world is one of the major tasks of this Working Party. The record format structure will be based on the national and international standard for the communication of bibliographic data on magnetic tape. (Ref. ISO 2709, 1973; ANS Z-39.2, 1971.)

(6) A capability for linking name authority records (in both directions) to the appropriate bibliographic records is required.

(7) The Library of Congress is the logical agency to become the national bibliographic node in the evolving national network for libraries and information science envisioned in the soon-to-be-published program document of the National Commission for Libraries and Information Science.

Method of Procedure

(1) The Working Party will be chaired by a person selected by the Advisory Group on National Bibliographic Control. It will meet at the times and places designated by the chairperson.

(2) Travel and expenses of Working Party members will be supported by the agencies sponsoring the Advisory Group. Honoraria will not be paid.

(3) Remuneration for expenses, all correspondence, and other administration will be handled by the Council on Library Resources.

(4) The chairperson will periodically report the activities and results of the Working Party to the Advisory Group, in person or in writing, as appropriate.

(5) The creation and composition of the Working Party will be widely publicized, as will this charter. Working papers of the Party will be treated as confidential between the Working Party and its sponsors until such time as it is appropriate to publicize results and to invite public comment on progress.

(6) Neither the Working Party nor its sponsors are standards-setting agencies. If the work of the Party at any time indicates implications for bibliographic standards work, the chairperson will inform the Advisory Group so that proper and formal action can be taken.

(7) The Working Party will begin by defining the national requirement for a name authority file. This definition will include a statement of how this file should be built and used. Pertinent questions for which answers are to be sought include, but are not necessarily limited to, the following:

(a) Is the form of name selected by the Library of Congress to be the authoritative form?
(b) Will all other (i.e., variant) forms selected by other agencies be cross references in the master record or will separate records be created from them by links to the master record?
(c) If an agency establishes a name heading

which is not in the master file, does it require validation by a central authority before becoming a "national authority?" If so, which agency does the validation?

(d) If separate records are established for variant name forms, what are the implications for overall file size and for the reference structure of the file?

(8) After the requirement specifications for the national name authority file are drawn up and recommendations as to how the file should be built and maintained have been formulated, the Working Party will proceed to the record format. The Working Party will note that the Library of Congress is well advanced in constructing a format and content designation scheme for name authority files in national library use. This draft format will be examined for possible extension to satisfy the overall national requirements.

Desired Products

It is intended that the work of this Party will result in at least the following:

(1) A statement of requirements which clearly identifies the need for and intended uses of this file by the various sectors of the information community, together with a set of functional specifications that states in broad terms the technical tasks that must be accomplished to achieve these objectives.

(2) A national record format for name authority records, inclusive of all types of names usually found in such files and also including the appropriate cross references.

(3) A comprehensive content designation scheme for this record format which will take advantage of, complement, and, to the degree possible, be completely compatible with tagging schemes already in national use for bibliographic purposes.

(4) A statement of the general requirement for linking the name authority records to the bibliographic records (and the reverse of this), together with recommended approaches to the solution.

(5) A set of written guidelines to cover the input, coding, and tagging of the national name authority records.

(6) A general statement of how the work and benefits may be shared in the creation, maintenance, and use of the national bibliographic name authority file.